

S/N 10/020,524



COPY OF PAPERS
ORIGINALLY FILED

#3

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Katharina Koelle, et al.	Examiner:	Not Yet Assigned
Serial No.:	10/020,524	Group Art Unit:	2131
Filed:	December 14, 2001	Docket No.:	50040.01USU1
Title:	METHOD AND APPARATUS FOR PROTECTION OF ELECTRONIC MEDIA		

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited in the United States Postal Service, as first class mail, with sufficient postage, in an envelope addressed to: BOX PETITIONS, Commissioner for Patents, Washington, D.C. 20231, on February 26, 2002.

By: 
Name: John W. Branch

PETITION UNDER 37 CFR §1.47(a) REGARDING NON-SIGNING INVENTOR

BOX PETITIONS
Commissioner for Patents
Washington, D.C. 20231

RECEIVED
MAR 18 2002
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Dear Sir:

In accordance with the provisions of 37 CFR §1.47(a), it is respectfully requested that the above-identified patent application be accepted as complete with a partially executed Combined Declaration and Power of Attorney, which has been signed by one of the two inventors, Katharina Koelle. The non-signing inventor, William P. Worzel, has refused to cooperate and sign a declaration or assignment regarding his inventorship of the above-identified patent application as required to do so under the terms of his previous employment with the assignee. William P. Worzel has stated that he would do nothing that required him to spend even a minute more of his time regarding this matter without recompense, which is contrary to the terms of his previous employment with the assignee.

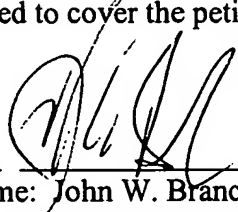
Filed with this petition is a Declaration under 37 CFR §1.47(a), which provides the pertinent facts regarding William P. Worzel's refusal to sign the Combined Declaration and Power of Attorney document. Also, we have enclosed a copy of a separately recorded Notice

Under 35 U.S.C. 261 regarding assignment of the invention that was filed on February 21, 2002, for recordation in the U.S. Patent and Trademark Office. Additionally, we have enclosed a copy of the partially executed Combined Declaration and Power of Attorney document which was previously filed on December 14, 2001.

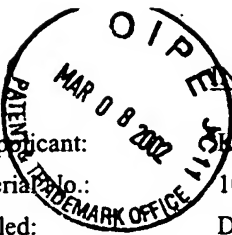
William P. Worzel's last known address is 214 W. Main St., Milan, Michigan 48160.

A check in the amount of \$130.00 is enclosed to cover the petition fee as required by 37 CFR §1.17(h).

MERCHANT & GOULD P.C.
P.O. Box 2903, Minneapolis, MN 55402-0903
206.342.6200

By: 
Name: John W. Branch
Reg. No.: 41,633



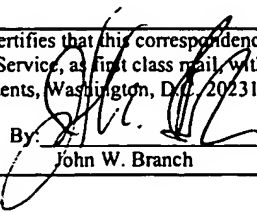


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

7-#3

Applicant: Katharina Koelle, et al. Examiner: Not Yet Assigned
Serial No.: 10/020,524 Group Art Unit: 2131
Filed: December 14, 2001 Docket: 50040.01USU1
Title: METHOD AND APPARATUS FOR PROTECTION OF ELECTRONIC MEDIA

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence and the paper(s), as described herein, are being deposited in the United States Postal Service, as first class mail, with sufficient postage, in an envelope addressed to: BOX PETITIONS, Commissioner for Patents, Washington, D.C. 20231, on February 26, 2002.

By: 
John W. Branch

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Commissioner for Patents
Washington, D.C. 20231

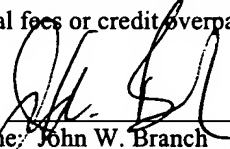
Sir:

We are transmitting herewith the attached:

- ☒ Transmittal Sheet in duplicate containing Certificate of Mailing
- ☒ Check in the amount of \$130 for petition fee
- ☒ Check in the amount of \$1,248 for missing parts fees
- ☒ Notice to File Missing Parts of Nonprovisional Application
- ☒ Petition regarding non-signing inventor under 37 CFR 1.47(a)
- ☒ Declaration regarding non-signing inventor under 37 CFR 1.47(a)
- ☒ Copy of Combined Declaration and Power of Attorney
- ☒ Copy of Notice Under 35 U.S.C. 261 Regarding Assignment
- ☒ Return postcard

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers or any future reply, if appropriate. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.
P.O. Box 2903, Minneapolis, MN 55402-0903
206.342.6200

By: 
Name: John W. Branch
Reg. No.: 41,633
JWB/JLW/cwk



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S/N 10/020,524



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#5

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Katharina Koelle, et al.	Examiner:	Not Yet Assigned
Serial No.:	10/020,524	Group Art Unit:	2131
Filed:	December 14, 2001	Docket No.:	50040.01USU1
Title:	METHOD AND APPARATUS FOR PROTECTION OF ELECTRONIC MEDIA		

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By: 
Name: John W. Branch

BOX PETITIONS
Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

DECLARATION UNDER 37 CFR 1.47(a) REGARDING
NON-SIGNING INVENTOR

TABLE OF CONTENTS

Declaration Under 37 CFR 1.47(a) Regarding Non-Signing Inventor

Declaration	Pages 2-3
Email to William P. Worzel of December 10, 2001	Exhibit 1
Certified Mail Receipt of December 10, 2001	Exhibit 2
Certified Mail Receipt of December 22, 2001	Exhibit 3
Email from William P. Worzel of January 7, 2002	Exhibit 4
Email to William P. Worzel of January 23, 2002	Exhibit 5
Certified Mail receipt of January 23, 2002	Exhibit 6
Returned Certified Mail of January 23, 2002	Exhibit 7
Email from William P. Worzel of January 29, 2002	Exhibit 8

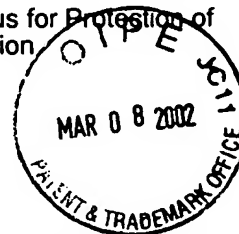
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07/19/2002 AKELLEY 00000011 132725 10020524

01 FC:105 130.00 CH

Jámie Wiegand

From: Jamie Wiegand
Sent: Monday, December 10, 2001 7:33 AM
To: 'billw@genetics2.com'
Cc: John Branch; Janice Kniep; Alice M Johnson; 'Jonathan K. Wright (E-mail)'; Jamie Wiegand; 'Katia Koelle'
Subject: RE: WV# P-4100US/ M&G# 50040.1USU1 -- " Method and Apparatus for Protection of Electronic Media" - Revisions to application per telephone conversation



December 9, 2001

To: William P. Worzel

Re: 50040.1USU1 -- " Method and Apparatus for Protection of Electronic Media" - Request for Approval, of the attached patent application.

Attached is the patent application of the above matter. Katia Koelle has reviewed and approved this version, as ready for filing. **We request your approval of this application as ready for filing.** The figures have been sent to you in PDF format, the application draft is in WORD.

Because this utility application must be filed by December 14, 2001 - we seek your approval as quickly as possible. **Should you have any issues, or concerns call me at the number below. Otherwise PLEASE email me a quick note to let me know that the application has been reviewed by you and meets with your approval.**



Visio-Draft 5 Draft 5 for
URES for 50040_0001USU1.do

Sincerely,

Jamie Wiegand
Merchant & Gould PC
1191 Second Avenue, Suite 1500
Seattle, WA 98101
(206) 342-6200 main
(206) 342-6288 direct
(206) 342-6201 fax
jwiegand@merchant-gould.com

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SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

William P. Worzel
214 W. Main Street
Milan, MI 48160

COMPLETE THIS SECTION ON DELIVERY

A. Received by (Please Print Clearly) B. Date of Delivery

C. Signature

X

☐ Agent

☐ Addressee

D. Is delivery address different from item 1? ☐ Yes
If YES, enter delivery address below: ☒ No

3. Service Type

☒ Certified Mail

☐ Express Mail

☐ Registered

☒ Return Receipt for Merchandise

☐ Insured Mail

☐ C.O.D.

4. Restricted Delivery? (Extra Fee)

☐ Yes

2. Article Number (Copy from service label)

7000 1670 0011 7876 0764.

102595-00-M-0952

U.S. Postal Service

CERTIFIED MAIL RECEIPT

(Domestic Mail Only; No Insurance Coverage Provided)

Postage	\$ 2.41
Certified Fee	2.10
Return Receipt Fee (Endorsement Required)	1.50
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	\$ 6.01



Sent To
William P. Worzel
Street, Apt. No., or PO Box No.
214 W. Main Street
City, State, ZIP+4
Milan, MI 48160

PS Form 3800, May 2000

See Reverse for Instructions

1191 Second Avenue
Suite 1500
Seattle, Washington
98101-3420 USA
A Professional Corporation M&G 500401USU1

RETURN RECEIPT REQUESTED

ADDRESS SERVICE REQUESTED

William P. Worzel
214 W. Main Street
Milan, Michigan 48160

RECEIVED

MAR 18 2002

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PS Form 3800, May 2000

Sent To
William P. Worzel
Street, Apt. No., or PO Box No.
214 W. Main Street
City, State, ZIP+4
Milan, MI 48160

Postage	\$ 2.41
Certified Fee	2.10
Return Receipt Fee (Endorsement Required)	1.50
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	\$ 6.01

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7000 1670 0011 7876 0764



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- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

William P. Worzel
214 W. Main Street
Milan, MI 48160

COMPLETE THIS SECTION ON DELIVERY

A. Received by (Please Print Clearly) William Worzel B. Date of Delivery 12/22

C. Signature

X William P. Worzel ☐ Agent ☐ Addressee

D. Is delivery address different from item 1? ☐ Yes
If YES, enter delivery address below: ☒ No

3. Service Type

☒ Certified Mail ☐ Express Mail
☐ Registered ☒ Return Receipt for Merchandise
☐ Insured Mail ☐ G.O.D.

4. Restricted Delivery? (Extra Fee) ☐ Yes

2. Article Number (Copy from service label)

7000 1670 0011 7876 0764

PS Form 3811, July 1999

Domestic Return Receipt

102595-00-M-0952

Jamie Wiegand

From: Jamie Wiegand
Sent: Monday, January 07, 2002 1:32 PM
To: 'billw@genetics2.com'
Cc: John Branch; 'Jonathan K. Wright (E-mail)'; Alice M Johnson; Janice Kniep; Jamie Wiegand
Subject: 50040.1USU1 - Status of Formal Documents from Inventor

January 7, 2002

To: William P. Worzel

Re: 50040.1USU1; Request for Status of signed Formal Documents (Assignment and Combined Declaration/POA) for "Method and Apparatus for Protection of Electronic Media."

Bill:

I was wondering if you had any questions about either the patent application or the formal papers for the above matter that were mailed to you by certified mail? If you have any questions, please do not hesitate to email me at the email address below. However, if you do not have any questions, would you please sign the formal documents as the instructions indicated, and mail them to me? If you have already mailed the signed documents, please email me a quick note, to let me know. Thank you.

Sincerely,

Jamie Wiegand
Merchant & Gould PC
1191 Second Avenue, Suite 1500
Seattle, WA 98101
(206) 342-6200 main
(206) 342-6288 direct
(206) 342-6201 fax
jwiegand@merchant-gould.com

Note: This email message is confidential, and may be privileged, or otherwise protected by law. If you are not the intended recipient, you should: (1) Reply via e-mail to sender; (2) Destroy this communication entirely, including deletion of all associated text files from all individual and network storage devices; and (3) Refrain from copying or disseminating this communication by any means whatsoever. Thank you.

Jamie Wiegand

From: billw@genetics2.com
Sent: Monday, January 07, 2002 5:21 PM
To: Jamie Wiegand
Subject: Re: 50040.1USU1 - Status of Formal Documents from Inventor

I have neither the time, nor the inclination to look at these papers before the 16th as I have a deadline then.

>January 7, 2002

>

>To: William P. Worzel

>

>Re: 50040.1USU1; Request for Status of signed Formal Documents
>(Assignment and Combined Declaration/POA) for "Method and Apparatus for
>Protection of Electronic Media."

>

>Bill:

>

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>and mail them to me? If you have already mailed the signed documents,
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>Sincerely,

>

>Jamie Wiegand

>Merchant & Gould PC

>1191 Second Avenue, Suite 1500

>Seattle, WA 98101

>(206) 342-6200 main

>(206) 342-6288 direct

>(206) 342-6201 fax

>jwiegand@merchant-gould.com

>

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>individual and network storage devices; and (3) Refrain from copying or
>disseminating this communication by any means whatsoever. Thank you.

>

>

>

>

>

>

--

Bill Worzel

Chief Technical Officer

Genetics2

<mailto:billw@genetics2.com>

Tel: 734-439-3828

Fax: 734-439-8539

Jamie Wiegand

From: Jamie Wiegand
Sent: Wednesday, January 23, 2002 1:44 PM
To: 'billw@genetics2.com'
Cc: John Branch; Alice M Johnson; Janice Kniep; 'Jonathan K. Wright (E-mail)'
Subject: 50040.1USU1 - Status of Signed Formal Documents from Inventor & Updated Formal Documents

January 23, 2002

To: William P. Worzel

Re: 50040.1USU1 - Status of Signed Formal Documents from Inventor & Updated Formal Documents

Bill:

Please discard the prior electronic copies of the formal documents and use the updated copies attached in this email. The earlier documents were intended to be filed concurrent with the filing of the application. The attached copies should now be used, as they reflect the filing date and serial number of the application filed 12/14/2001, and are to be used after an application has been filed.

As stated in the ealier email, we have not received from you the formal documents that we asked you to sign for the above-identified matter. We understand that these documents were received by you through certified mail on December 22, 2001.

Recently, our office received a Notice to File Missing Parts from the U.S. Patent and Trademark Office (USPTO), which included a request for the signed formal document, from you.

At this time, are you willing to sign the formal documents and return them to us? Kindly advise us of your intentions.

If you will sign the revised formal documents, please return the signed updated documents to me, no later than February 5, 2002.

I have attached a set of electronic copies of the updated formal documents for your signatures.



Dec and
POA-MP.pdf



Assignment-MP
.pdf

Sincerely,

Jamie Wiegand
Merchant & Gould PC
1191 Second Avenue, Suite 1500
Seattle, WA 98101
(206) 342-6200 main
(206) 342-6288 direct
(206) 342-6201 fax
jwiegand@merchant-gould.com

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Merchant & Gould

An Intellectual Property Law Firm

1191 Second Avenue
Suite 1500
Seattle, Washington
98101-3420 USA
TEL 206.342.6200
FAX 206.342.6201
www.merchant-gould.com

Direct Contact

206.342.6288
jwiegand@merchant-gould.com

A Professional Corporation

January 23, 2002

VIA CERTIFIED MAIL #7000 1670 0011 7876 0795
RETURN RECEIPT REQUESTED

William P. Worzel
214 W. Main Street
Milan, Michigan 48160

Re: Title: METHOD AND APPARATUS FOR PROTECTION
OF ELECTRONIC MEDIA
Inventors: Koelle et al.
Application No.: 10/020,524
Filing Date: December 14, 2001
Our Reference: 50040.1USU1

Action Requested:	Please review the enclosed formal papers, sign, and return to us.
-------------------	---

Dear William:

We have not received from you the formal documents that we asked you to sign for the above-identified matter. We understand that these documents were received by you through certified mail on December 22, 2001.

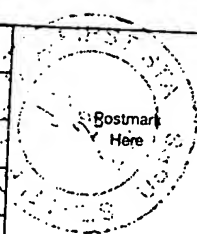
Recently, our office received a Notice to File Missing Parts from the U.S. Patent and Trademark Office (USPTO), which included a request for the signed formal document,

in the formal documents and return them to us? Kindly

ments, please return the signed documents to me, no later

U.S. Postal Service
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Postage	\$ 2.41
Certified Fee	2.10
Return Receipt Fee (Endorsement Required)	1.50
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	\$6.01



Sent To
William P. Worzel
Street, Apt. No., or PO Box No.
214 W. Main Street
City, State, ZIP+4

Minneapolis/St. Paul
Denver
Seattle
At

Exhibit 6-1

000 1670 0011 7876 0795



7000 1670 0011 7676 0795



\$06.01

01/23/2002
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FIRST CLASS MAIL

MS
1-28
3-2
3-12

Merchant & Gould
An Intellectual Property Law Firm

1191 Second Avenue
Suite 1500
Seattle, Washington
98101-3420 USA

A Professional Corporation MSG 50040105

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William P. Worzel
214 W. Main Street
Seattle, WA 98101

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COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/020,524	12/14/2001	Katharina Veronika Koelle	50040.01USU1

23552
MERCHANT & GOULD PC
P.O. BOX 2903
MINNEAPOLIS, MN 55402-0903

CONFIRMATION NO. 9082

FORMALITIES LETTER



OC000000007305064

Date Mailed: 01/14/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$378.
 - \$126 for 7 total claims over 20.
 - \$252 for 3 independent claims over 3 .
- The signature of the following inventor(s) is missing from the oath or declaration:
William P. Worzel
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1248.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

03/11/2002 GTEFFERA 00000040 10020524 PART 2 - COPY TO BE RETURNED WITH RESPONSE

01 FC:101	740.00 OP
02 FC:105	130.00 OP
03 FC:103	126.00 OP
04 FC:102	252.00 OP

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MAR 18 2002

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